

RECEIVED

MAY 11 2001

ATTORNEY DOCKET NO. Q61191
PATENT APPLICATION



TC 2800 MAIL ROOM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

application of

Toshiro HAYAKAWA, et al.

Appln. No. 09/801,695 ✓

Group Art Unit: 2812

Confirmation No.: 3297

Examiner: NOT YET ASSIGNED

Filed: March 09, 2001

For: "FUNDAMENTAL-TRANSVERSE-MODE INDEX-GUIDED SEMICONDUCTOR LASER DEVICE HAVING UPPER OPTICAL WAVEGUIDE LAYER THICKER THAN LOWER OPTICAL WAVEGUIDE LAYER"

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants hereby notify the U.S. Patent and Trademark Office of the documents which are listed on the attached Form PTO-1449 and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a

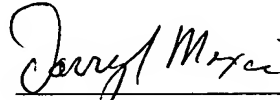
INFORMATION DISCLOSURE STATEMENT
U.S. Appln. No. 09/801,695

ATTORNEY DOCKET NO. Q61191

request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,



Darryl Mexic
Registration No. 23,063

SUGHRUE, MION, ZINN,
MACPEAK & SEAS, PLLC
2100 Pennsylvania Avenue, N.W.
Washington, D.C. 20037-3213
Telephone: (202) 293-7060
Facsimile: (202) 293-7860

Date: May 9, 2001